

FORM **BE-11 Claim for Not Filing**
(REV. 10/98)U.S. DEPARTMENT OF COMMERCE
BUREAU OF ECONOMIC ANALYSIS**ANNUAL SURVEY OF U.S. DIRECT
INVESTMENT ABROAD – 1998**

CLAIM FOR NOT FILING

**RETURN
REPORTS
TO****U.S. Department of Commerce
Bureau of Economic Analysis
BE-69(A)
Washington, DC 20230**

OR

**DELIVER
REPORTS
TO****U.S. Department of Commerce
Bureau of Economic Analysis, BE-69(A)
Shipping and Receiving Section M-100
1441 L Street, NW
Washington, DC 20005****NOTE** – A single original copy of this report shall be filed
with the Bureau of Economic Analysis.**MANDATORY** – This survey is being conducted pursuant to the International Investment
and Trade in Services Survey Act (P.L. 94-472, 90 Stat. 2059, 22 U.S.C. 3101 to 3108,
as amended – hereinafter "the Act"), and the filing of reports is mandatory pursuant to
Section 5(b)(2) of the Act (22 U.S.C. 3104).**CONFIDENTIALITY** – The Act provides that your report to this Bureau is CONFIDENTIAL.
It may be used only for analytical or statistical purposes and CANNOT be used for purposes
of taxation, investigation, or regulation. The Act also provides that copies retained in your
files are immune from legal process.**Name and address of U.S. business enterprise for which this claim is filed**If the enterprise received a Form BE-11A but is exempt from filing Form BE-11A, enter
below the Reporter name and BEA assigned Reporter Identification Number (Reporter ID)
from the preprinted information in Part I, item 1, of Form BE-11A. If a Form BE-11A was
not received, enter name and address.

Name of U.S. Reporter

Reporter ID (Identification Number from Form BE-11A)

A BE-11, *Annual Survey of U.S. Direct Investment Abroad – 1998*, is required from any nonbank U.S. person that had a nonbank foreign affiliate – that is, that had direct or indirect ownership or control of at least 10 percent of the voting stock of an incorporated nonbank foreign business enterprise or an equivalent interest in an unincorporated nonbank foreign business enterprise – at the end of its 1998 fiscal year, unless all of the person's affiliates are exempt. (The U.S. person's 1998 fiscal year is defined to be the person's financial reporting year that has an ending date in calendar year 1998.)

Section 806.4 of 15 CFR, Chapter VIII, requires that all persons subject to the reporting requirements of the BE-11 survey respond, whether or not they are contacted by BEA.

It also requires that a person, or their agent, who is contacted by BEA about reporting in this survey, either by sending them report forms or by written inquiry, must respond in writing. They may respond by:

- certifying in writing, within 30 days of being contacted by BEA, to the fact that the person had no direct investment within the purview of the reporting requirements of the BE-11 survey;
- completing and returning the "BE-11 Claim for Not Filing" within 30 days of receipt of BE-11 survey report forms; or
- filing the properly completed BE-11 report by May 28, 1999, as required.

BASIS OF CLAIM FOR NOT FILING

Mark (X) and complete either A or B

- A.** ☐ This U.S. person did **not** own or control, directly and/or indirectly, 10 percent or more of the voting securities of an incorporated foreign business enterprise, or an equivalent interest in an unincorporated foreign business enterprise (including a branch or real estate held for other than personal use) at the end of its 1998 fiscal year.

☐ But *did* file a 1997 BE-11 survey report with this Bureau.

- B.** ☐ This U.S. person **did** own or control, directly or indirectly, 10 percent or more of the voting securities of an incorporated foreign business enterprise, or an equivalent interest in an unincorporated foreign business enterprise (including a branch or real estate held for other than personal use) at the end of its 1998 fiscal year, but *(Mark (X) one)* –

- 1 ☐ None of its foreign affiliates are required to be reported on Forms BE-11B(LF) or (SF) or BE-11C, because all affiliates are exempt.
You must complete the reverse side of this claim for those affiliates for which you received a preprinted form.
(See **Instruction Booklet**, Section I.C., for exemption criteria.)

- 2 ☐ The U.S. person is a bank or bank holding company, i.e., over 50 percent of its total revenues are generated by activities classified in International Surveys Industry (ISI) code 600 and/or 603.

- 3 ☐ The owners are citizens of a foreign country who **(a)** are resident in the U.S. as a result of official employment by a foreign government (including the immediate family of such persons), or **(b)** have been and expect to be resident in the U.S. for less than one year.

- 4 ☐ Is fully consolidated in the BE-11 report for another U.S. person – Give name and address of that person and their BEA Identification Number, if known. →

Name

Address – Number and street or P.O. Box

City

State

ZIP Code

BEA Identification
Number →

- 5 ☐ Other – Specify and include reference to section of regulations or instructions on which claim is based.

PENALTIES – Whoever fails to report may be subject to a civil penalty of not less than \$2,500, and not more than \$25,000, and to injunctive relief commanding such person to comply, or both. Whoever willfully fails to report shall be fined not more than \$10,000 and, if an individual, may be imprisoned for not more than one year, or both. Any officer, director, employee, or agent of any corporation who knowingly participates in such violations, upon conviction, may be punished by a like fine, imprisonment or both. (See Section 6 of the Act, 22 U.S.C. 3105.)

Name of U.S. person for BEA to consult about this claim
Print or type**CERTIFICATION** – The undersigned official certifies that the information contained in this claim is correct and complete to the best of his/her knowledge.

Address – Number and street

Authorized official's signature

City

State

ZIP Code

Print or type name and title

Date

Telephone
number →

Area code

Number

Extension

If you are claiming exemption based upon the criteria in B.1 (see the reverse side of this claim), complete the items below for those affiliates for which you received preprinted forms. Copy the affiliate name and affiliate ID from the preprinted form and complete the remaining items.

1. Name of foreign affiliate:	a. Percent ownership at close of fiscal year 1998 – Enter to the nearest tenth of one percent	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> . <div></div> %
Affiliate ID:	b. Total assets – Balance at close of fiscal year →	Amount (Thousands of U.S. dollars)
	c. Annual sales or gross operating revenues, excluding sales taxes	
	d. Net income (loss)	
2. Name of foreign affiliate:	a. Percent ownership at close of fiscal year 1998 – Enter to the nearest tenth of one percent	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> . <div></div> %
Affiliate ID:	b. Total assets – Balance at close of fiscal year →	Amount (Thousands of U.S. dollars)
	c. Annual sales or gross operating revenues, excluding sales taxes	
	d. Net income (loss)	
3. Name of foreign affiliate:	a. Percent ownership at close of fiscal year 1998 – Enter to the nearest tenth of one percent	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> . <div></div> %
Affiliate ID:	b. Total assets – Balance at close of fiscal year →	Amount (Thousands of U.S. dollars)
	c. Annual sales or gross operating revenues, excluding sales taxes	
	d. Net income (loss)	
4. Name of foreign affiliate:	a. Percent ownership at close of fiscal year 1998 – Enter to the nearest tenth of one percent	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> . <div></div> %
Affiliate ID:	b. Total assets – Balance at close of fiscal year →	Amount (Thousands of U.S. dollars)
	c. Annual sales or gross operating revenues, excluding sales taxes	
	d. Net income (loss)	
5. Name of foreign affiliate:	a. Percent ownership at close of fiscal year 1998 – Enter to the nearest tenth of one percent	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> . <div></div> %
Affiliate ID:	b. Total assets – Balance at close of fiscal year →	Amount (Thousands of U.S. dollars)
	c. Annual sales or gross operating revenues, excluding sales taxes	
	d. Net income (loss)	
6. Name of foreign affiliate:	a. Percent ownership at close of fiscal year 1998 – Enter to the nearest tenth of one percent	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> . <div></div> %
Affiliate ID:	b. Total assets – Balance at close of fiscal year →	Amount (Thousands of U.S. dollars)
	c. Annual sales or gross operating revenues, excluding sales taxes	
	d. Net income (loss)	

Additional foreign affiliates should be reported on additional copied sheets.

REMARKS